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OMB APPROVAL

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# UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

FORM 19b-4(e)

Information Required of a Self-Regulatory Organization Listing and Trading a New

### READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM

Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934

#### Part I

#### **Initial Listing Report**

1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: The NASDAQ Stock Market LLC (traded pursuant to unlisted trading privileges)

- 2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): Corporation
- 3. Class of New Derivative Securities Product:

OWSON UF MARKET REGULATION

**Index Linked Note** 

4. Name of Underlying Instrument:

Nikkei 225 Index



- 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Broad-based
- 6. Ticker Symbol(s) of New Derivative Securities Product:

7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:

Listed on: Tokyo

8. Settlement Methodology of New Derivative Securities Product:

Regular way trades settle on T + 3 (cash settled)

9. Position Limits of New Derivative Securities Product (if applicable):

N/A

# Part II

## Execution

The undersigned represents that the governing body of the above-referenced Self-Regulatory Organization has duly approved, or has duly delegated its approval to the undersigned for, the listing and trading of the above-referenced new derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing standards.

Name of Official Responsible for Form:

Gary N. Sundick

Telephone Number:

Title:

Vice President, Listing Qualifications

301 978-5214 Manual Signature of Official Responsible for Form: Act

Securities Exchange Act of 1934

Rule

Section

19b-4(e)

19b-4

Date:

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